



## **Division Guideline #9**

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**Title:**           **Guidelines for Targeted Case Management Reviews**

**Application:**   **All Providers of Developmental Disabilities Targeted Case Management Services: Regional Offices and contracted Targeted Case Management Providers**

This guideline applies to Targeted Case Management Technical Assistance Coordinators who have been assigned by the Regional Office the responsibility of reviewing support coordination systems for Regional Offices and contracted targeted case management providers. This is to ensure standards are maintained and other State policies and guidelines are followed concerning the protection of individual health and welfare and other elements of waiver operations.

1. Reviews will cover the following areas:
  - A. Evidence that case management staff meet qualifications
  - B. Records are maintained for each individual receiving support coordination
  - C. Annual Individual Support Plan (ISP) is prepared according to guidelines
    1. ISP supports waiver services that are prior authorized
    2. Service authorizations accurately reflect support plan and budget
    3. ISPs are updated/reviewed at least annually with required components, or when warranted by changes in the individual's needs
    4. Provider monthly reviews and Support Coordinator quarterly reviews completed

5. Evidence that services were delivered in accordance with the support plan including the type, scope, amount, duration, and frequency as specified in the Individual Support Plan
  6. Health inventories completed and nursing recommendations reflected in the Individual Support Plan
  - D. Assessment and Level of care evaluation is accurately completed
  - E. Evidence that individuals were provided choice of waiver services and service providers
  - F. Evidence that Service Monitoring is conducted and identified concerns submitted for entry into APTS
  - G. Evidence of implementation of Utilization Review process
  - H. Evidence that process is followed for individual moves, per Individual Moves & Portability of Funds Policy - Directive 5.010
  - I. Evidence that individual's record contains documentation of the individual/guardian receiving information annually on individual rights without limitations. Evidence that the TCM Provider support coordinator reports and follows up on implementation of provider action plan regarding abuse, neglect and death inquiries and investigations
  - J. Evidence of a system that ensures accuracy of information entered in the Division's Individual Information Management System
  - K. Evidence of 24/7 on-call system
  - L. Evidence that Quality Assurance processes and systems are in place
  - M. Logging
2. Reviews will be completed on an annual basis. ISP Reviews and LOCS requiring remediation will be reviewed on a quarterly basis.
  3. TCM Technical Assistance Coordinators will contact the Director of the TCM Provider at least one month in advance of a scheduled review. The TCM Technical Assistance Coordinator and the TCM Provider will determine the review date.
  4. The TCM Technical Assistance Coordinator and the TCM Provider will determine whether the review will be by desk audit or by an on-site visit.
  5. The review sample size will be based on the number of support coordinators employed by the Regional Office or TCM Provider Agency. One individual's file will be reviewed from each support coordinator's caseload. The sample size may be expanded depending on the significance and/or number of issues identified at the time of the review.
  6. When a TCM provider delivers TCM services in more than one region, the primary Regional Office, (which is defined as the region in which the greater number of individuals are served), will coordinate the scheduling of reviews with the TCM Agency and other Regional Offices. The primary Regional Office will be responsible for collecting, assimilating, and sending one report to the TCM Provider Agency.

7. The TCM Technical Assistance Coordinator will submit a written report of the findings of the review to the TCM Provider, with a copy to the TCM agency file at the Regional Office, within 15 working days of the review using the TCM Provider Summary. The TCM Technical Assistance Coordinator will work with the TCM agency to develop a written action plan to address goals, enhancements, and/or resolution of identified issues within 30 days of receipt of report.
8. The TCM Technical Assistance Coordinator or designee will enter all achievements, best practices, issues, and the resolution of those issues, gathered from the review, into the APTS database for trending of information. The TCM Technical Assistance Coordinator will be responsible for ensuring that issue(s) have been resolved and the date of the resolution has been entered into APTS.

*This guideline will be reviewed and updated annually, if needed.*